

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))**

*JFW*  
Docket No.  
36194/42366

In Re Application Of:  
Tully et al.

Serial No.  
10/692,067

Filing Date  
October 22, 2003

Examiner  
To be determined

Group Art Unit  
3628

Title:  
System And Method For The Automated Brokerage Of Financial Instruments



Address to:  
Assistant Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

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(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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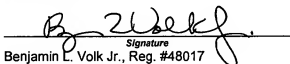
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Thompson Coburn LLP  
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Substitute for form 1449A/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

## **Complete if Known**

Application Number	10/692,067
Filing Date	October 22, 2003
First Named Inventor	Tully et al.
Art Unit	3628
Examiner Name	To Be Determined
Attorney Docket Number	36194 / 42366



## **U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No. 1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (# known)			
		US- 4486853	12/4/1984	Parsons	
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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.Z./

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/692,067
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				First Named Inventor	Tully et al.
				Art Unit	3628
				Examiner Name	To Be Determined
(use as many sheets as necessary)				Attorney Docket Number	36194 / 42366
Sheet	2	of	5		

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Sheet	3	of	5
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(use as many sheets as necessary)				Attorney Docket Number	36194 / 42366
Sheet	4	of	5		

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner Signature	/Michael Zecher/	Date Considered	12/02/2008
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<sup>1</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>4</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>7</sup> Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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## NON PATENT LITERATURE DOCUMENTS

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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